

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Dow, Dennis R.	2. Court or Organization US Bankruptcy Ct-W Dist MO	3. Date of Report 05/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Charles E Whittaker United States Courthouse 400 E 9th St, Room 6562 Kansas City, MO 64106		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director, Secretary, Executive Committee Member	American Bankruptcy Institute
2.	At-large member of the Board of Governors	National Conference of Bankruptcy Judges
3.	Member Board of Directors	CARE
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.*(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2017	Trinity Management LLC - Salary reported on Form W-2
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bankruptcy Institute	February 1, 2017-February 4, 2017	Tampa, FL	41st Annual Alexander L. Paskay Memorial Bankruptcy Seminar	Transportation & Meals
2. American College of Bankruptcy	March 9, 2017-March 11, 2017	Washington, DC	Induction Ceremony	Transportation, Meals & Lodging
3. Missouri Bar	March 29, 2017-March 30, 2017	Columbia, MO	Annual Bankruptcy Institute	Transportation, Meals & Lodging
4. American Bankruptcy Institute	April 19, 2017-April 22, 2017	Washington, DC	2017 Annual Spring Meeting	Transportation & Meals
5. American Bankruptcy Institute	June 12, 2017-June 13, 2017	Washington, DC	Executive Committee Meeting	Transportation, Meals & Lodging

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6.	American Bankruptcy Institute	September 6, 2017- September 7, 2017	San Diego, CA	Executive Committee Meeting	Transportation & Meals
7.	National Conference of Bankruptcy Judges	October 7, 2017- October 11, 2017	Las Vegas, NV	91st Annual Meeting	Transportation & Lodging
8.	American Bankruptcy Institute	November 29, 2017- December 2, 2017	Palm Springs, CA	2017 Winter Leadership Conference	Transportation & Meals

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. Natixis US Eq Opp Fund A (Y)	A	Dividend							
2. United Missouri Bank (UMB) Accounts	A	Interest	K	T					
3. Europacific Growth Fund A (Y)	A	Dividend							
4. The Growth Fund of America A (Y)	A	Dividend							
5. The New Economy Fund A (Y)	A	Dividend							
6. Small Cap World Fund A (Y)	A	Dividend							
7. Davis New York Venture Fund Class A (Y)	A	Dividend							
8. Templeton Developing Markets Trust Class A (Y)	A	Dividend							
9. Columbia Seligman Communications & Info Fund A (Y)	A	Dividend							
10. Rollover IRA #1: (H) (Y)									
11. -Fidelity ADV Energy Fund CL T	A	Dividend			Sold	03/30/17	L		
12. -American Small Cap World Fund CL A	A	Dividend							
13. -Citibank Bank Deposit Cash Account	A	Interest							
14. -American Mutual Fund Class A	B	Dividend							
15. -Franklin Small Mid Cap Growth Fund A	A	Dividend							
16. -Franklin Mutual Global Discovery Fund Class A	A	Dividend							
17. -Templeton Developing Markets Class A	A	Dividend							

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. -Buffalo Small Cap Fund	A	Dividend							
19. -Capital World Growth & Income Fund A	B	Dividend							
20. -Franklin Income Fund CL A	D	Dividend							
21. -Fundamental Investors Fund CL A	B	Dividend							
22. -Oppenheimer Gold & SP Mineral CL A	A	Dividend							
23. -Income Fund of America CL A	B	Dividend			Buy	03/30/17	L		
24. -Growth Fund of America CL A	A	Dividend							
25. The New England Variable Life Insurance Policies: (H)									
26. Lmis Say SmCap Growth	A	Dividend			Sold	06/20/17	J		
27. WMC Core Equity Opp	A	Dividend	J	T					
28. American Funds Growth Fund	A	Dividend	J	T					
29. American Funds Gro-Inc	A	Dividend	J	T					
30. MFS Research Intl	A	Dividend	J	T					
31. MetArt Mid Cap Value	A	Dividend			Sold	06/20/17	J		
32. Lmis Say SmCap Core	A	Dividend	J	T					
33. MFS Value Portfolio	A	Dividend	J	T					
34. The New England Whole Life Insurance Policies	B	Dividend	M	T					

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35. Investment Account #1-Fidelity (H) (X)									
36. Fidelity cash	A	Interest	J	T					
37. Columbia Seligman Com and Info CL I2	C	Dividend	K	T	Sold (part)	11/13/17	J	C	
38. American Europacific Growth Fund F3	A	Dividend	K	T					
39. The Growth Fund of America F3	A	Dividend	J	T					
40. Natixis US Equity Opportunities CL Y	A	Dividend	K	T					
41. The New Economy Fund F3	B	Dividend	K	T	Sold (part)	12/05/17	J	B	
42. American Small Cap World Fund F3	A	Dividend	J	T	Sold (part)	12/05/17	J	A	
43. Templeton Developing Markets Trust R6	A	Dividend	J	T					
44. Davis New York Venture Class A	A	Dividend			Sold	11/13/17	J	A	
45. Rollover IRA #2-MML (H) (X) (Y)									
46. American Capital World Grth & Inc A	A	Dividend			Sold	07/24/17	M		
47. American Fundamental Investors Class A	A	Dividend			Sold	07/24/17	M		
48. American Growth Fund of America Class A	A	Dividend			Sold	07/14/17	L		
49. American Income Fund of America Class A	A	Dividend			Sold	07/24/17	M		
50. American Mutual Fund Class A	A	Dividend			Sold	07/24/17	M		
51. American Small Cap World Class A	A	Dividend			Sold	07/24/17	L		

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52. Buffalo Small Cap Growth	A	Dividend			Sold	07/12/17	M		
53. Franklin Mutual GBLB Discovery Class A	A	Dividend			Sold	07/14/17	M		
54. Franklin Small-Mid Cap Growth A	A	Dividend			Sold	07/14/17	M		
55. Oppenheimer Gold & Spec Minerals CL A	A	Dividend			Sold	07/14/17	K		
56. Templeton Developing Markets Class A	A	Dividend			Sold	07/14/17	L		
57. Franklin Income Class A	A	Dividend			Sold	07/14/17	M		
58. Fidelity Treasury Money Market Fund	A	Dividend	L	T	Open	07/03/17	M		
59. Fidelity MSCI Real Estate Index ETF	A	Dividend	L	T	Buy	07/14/17	L		
60. Ishares Core S&P Mid-Cap ETF	A	Dividend	M	T	Buy	07/14/17	M		
61. Ishares Core S&P Small-Cap ETF	A	Dividend	L	T	Buy	07/14/17	L		
62. Ishares Core S&P US Growth ETF	A	Dividend	M	T	Buy	07/14/17	M		
63. Ishares Edge MSCI Min Vol USA ETF	A	Dividend	M	T	Buy	07/14/17	M		
64. Ishares TR EAFE Sml Cp ETF	A	Dividend	L	T	Buy	07/14/17	L		
65. Ishares TR NASDAQ Biotech	A	Dividend	K	T	Buy	07/14/17	L		
66. Ishares Trust Core Divid Gwth	A	Dividend	M	T	Buy	07/14/17	M		
67. Ishares Trust Currency Hedged MSCI EAFE ETF	A	Dividend	N	T	Buy	07/14/17	N		
68. Ishares TIPS Bond ETF	A	Dividend	L	T	Buy	07/14/17	L		

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69. Ishares TR JP Mor EM MK ETF	A	Dividend	L	T	Buy	07/14/17	L		
70. Ishares Trust Core Total USD Bd Mkt	A	Dividend	N	T	Buy	07/14/17	N		
71. Ishares Trust Floating Rate NT ETF	A	Dividend	L	T	Buy	07/14/17	L		
72. Ishares TR US PFD Stk ETF	A	Dividend	L	T	Buy	07/14/17	L		
73. Rollover IRA #3-Fidelity (H) (X)									
74. Blackrock Commodity Strategies Fund CL I	A	Dividend	K	T	Buy	12/29/17	K		
75. Delaware Emerging Mkts FD Institut CL	A	Dividend	L	T	Buy	12/29/17	L		
76. Oakmark Intl Investor CL	A	Dividend	L	T	Buy	12/29/17	L		
77. Eaton Vance Floating Rate Class I	A	Dividend	K	T	Buy	12/29/17	K		
78. PIMCO Income Fund Institutional Fund	A	Dividend	L	T	Buy	12/29/17	L		
79. Fidelity MSCI Real Estate Index ETF	A	Dividend	L	T					
80. Fidelity MSCI Utils Index ETF	A	Dividend	J	T	Buy	11/14/17	J		
81. Ishares Core S&P Mid Cap ETF	A	Dividend	M	T					
82. Ishares TR NASDAQ Biotech	A	Dividend	K	T					
83. Ishares Core S&P US Growth ETF	A	Dividend	M	T					
84. Ishares Core S&P Small Cap ETF	A	Dividend	L	T					
85. Ishares TR EAFE Sml CP ETF	B	Dividend	L	T					

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86. Ishares Edge MSCI Min Vol USA ETF	A	Dividend	M	T	Buy	12/20/17	K		
87. Ishares Trust Core Divid Gwth	B	Dividend	M	T	Buy	12/20/17	K		
88. Ishares Trust Currency Hedged MSCI EAFE ETF	A	Dividend	N	T					
89. Ishares TR JP Mor EM MK ETF	A	Dividend	L	T					
90. Ishares TR Fltg Rate NT ETF	A	Dividend	L	T					
91. Ishares TR Core Total USD	A	Dividend	N	T					
92. Ishares TR S&P US PFD Stk	A	Dividend	L	T					
93. Ishares TIPS Bond ETF	A	Dividend			Sold	12/20/17	L	A	
94. Fidelity Treasury Money Market Fund	A	Dividend	J	T					
95. Section 529 Plan #1 (H)									
96. American Funds College 2027 Fund 529C	A	Dividend	J	T	Buy	12/26/17	J		
97. Section 529 Plan #2 (H)									
98. American Funds College 2030 Fund 529C	A	Dividend	J	T	Buy	12/26/17	J		
99. Trust #1 Beneficial Interest (X)	A	Dividend	M	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. The Edward Jones IRA does not appear in Part VII because the account was redeemed in full in 2016.
2. The following old investment accounts that have been denoted with a "Y" were transferred in-kind to a new investment account labeled with a header and denoted with an "X" as Investment Account #1-Fidelity in October 2017: Natixis US Eq Opp Fund A, Europacific Growth Fund A, The Growth Fund of America A, The New Economy Fund A, Small Cap World Fund A, Davis New York Venture Fund Class A, Templeton Developing Markets Trust Class A, Columbia Seligman Communications & Info Fund A.
3. All of the investments held in the old Rollover IRA #1 account that has been denoted with a "Y" were transferred in-kind to a new rollover IRA account labeled with a header and denoted with an "X" as Rollover IRA #2-MML in June 2017.
3. All of the investments held in the old Rollover IRA #2-MML account that has been denoted with a "Y" were transferred in-kind to a new rollover IRA account labeled with a header and denoted with an "X" as Rollover IRA #3-Fidelity in October 2017.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Dennis R. Dow**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544